

(19) World Intellectual Property Organization  
International Bureau



(43) International Publication Date  
9 October 2003 (09.10.2003)

PCT

(10) International Publication Number  
**WO 03/084182 A1**

(51) International Patent Classification<sup>7</sup>: **H04L 29/06**,  
G06F 1/00

(21) International Application Number: PCT/US03/09789

(22) International Filing Date: 31 March 2003 (31.03.2003)

(25) Filing Language: English

(26) Publication Language: English

(30) Priority Data:  
10/113,875 29 March 2002 (29.03.2002) US

(71) Applicant: **SCANALERT** [US/US]; 625 Imperial Way,  
Suite 7, Napa, CA 94559 (US).

(72) Inventors: **CURRIE, David**; 2335 Jones Street, San Francisco, CA 94133 (US). **LEONARD, Kenneth**; 26 Orange Court, Hillsborough, CA 94010 (US). **TYLER, Benjamin**; 2205 Bridgepoint Parkway, #206, San Mateo, CA 94404 (US).

(74) Agents: **DANIELSON, Mark, J.** et al.; Pillsbury Winthrop LLP, 1600 Tysons Boulevard, McLean, VA 22102 (US).

(81) Designated States (*national*): AE, AG, AL, AM, AT, AU, AZ, BA, BB, BG, BR, BY, BZ, CA, CH, CN, CO, CR, CU, CZ, DE, DK, DM, DZ, EC, EE, ES, FI, GB, GD, GE, GH, GM, HR, HU, ID, IL, IN, IS, JP, KE, KG, KP, KR, KZ, LC, LK, LR, LS, LT, LU, LV, MA, MD, MG, MK, MN, MW, MX, MZ, NO, NZ, OM, PH, PL, PT, RO, RU, SC, SD, SE, SG, SK, SL, TJ, TM, TN, TR, TT, TZ, UA, UG, UZ, VC, VN, YU, ZA, ZM, ZW.

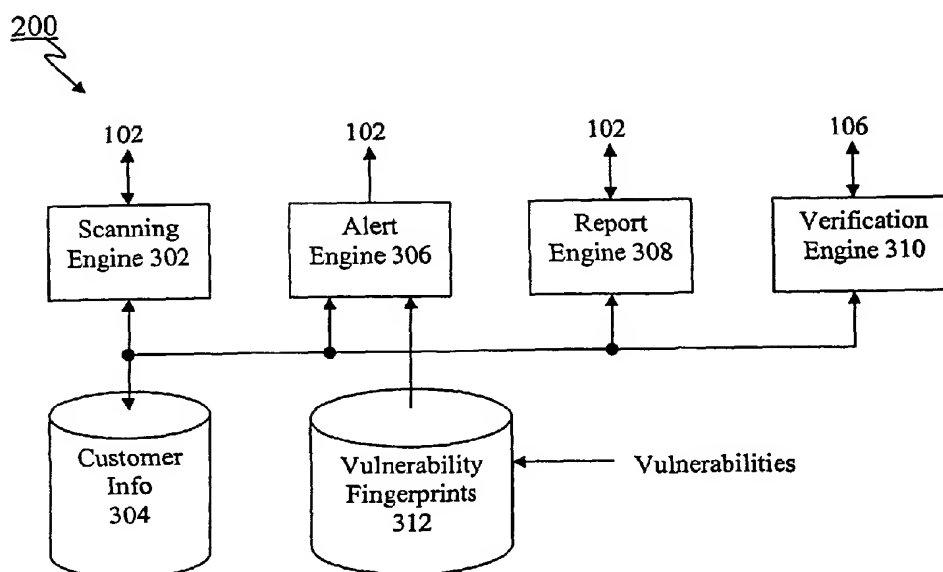
(84) Designated States (*regional*): ARIPO patent (GH, GM, KE, LS, MW, MZ, SD, SL, SZ, TZ, UG, ZM, ZW), Eurasian patent (AM, AZ, BY, KG, KZ, MD, RU, TJ, TM), European patent (AT, BE, BG, CH, CY, CZ, DE, DK, EE, ES, FI, FR, GB, GR, HU, IE, IT, LU, MC, NL, PT, RO, SE, SI, SK, TR), OAPI patent (BF, BJ, CF, CG, CI, CM, GA, GN, GQ, GW, ML, MR, NE, SN, TD, TG).

**Published:**

- with international search report
- before the expiration of the time limit for amending the claims and to be republished in the event of receipt of amendments

For two-letter codes and other abbreviations, refer to the "Guidance Notes on Codes and Abbreviations" appearing at the beginning of each regular issue of the PCT Gazette.

(54) Title: METHOD AND APPARATUS FOR REAL-TIME SECURITY VERIFICATION OF ON-LINE SERVICES



(57) Abstract: A unique combination of several functions achieves a system by which consumers can validate the actual security status of a website before they decide to trust it, and therefore transact with it. In one example implementation, a security system includes a scanning engine that periodically and thoroughly scans the network and connected components of an on-line service such as a website. The results are stored and perhaps reported back to the service via alerts and the like. The website includes a "bug" which visitors can click on. By clicking, the visitors are also displayed web pages showing the security status of the website. Based on their review of such web pages, visitors can then decide whether to trust the website for further transactions.



WO 03/084182 A1

## FIELD OF THE INVENTION

The present invention relates generally to security verification, and more particularly, to a method and apparatus for providing real-time third-party verification of the security status of a website or other on-line service.

5

## BACKGROUND OF THE INVENTION

Although e-commerce has grown exponentially in the recent past, problems that limit future growth remain. For example, many consumers who would otherwise be willing to transact or provide private information about themselves on-line do not do it because they are afraid that the Website operator has not taken sufficient security means to protect their private information such as their name, address, buying habits and credit card information.

FIG. 1 is a top-level block diagram illustrating an example environment of the invention. As shown in FIG. 1, the environment includes an on-line service 102 having one or more websites 104, and visitors 106 that access the website(s) of the on-line service via a network 108 such as the Internet. Only one service 102 and visitor 106 are shown in FIG. 1 for clarity of the invention. However, those skilled in the art will understand that there can be dozens, hundreds, thousands, and/or millions of each, depending on the type of network 108 involved.

On-line service 102 is typically an ecommerce operator, or other Internet or network service that obtains and/or maintains private or confidential information about consumers. Such service is interested in removing the fear and objections consumers may have about transacting with or sharing their personal information with the website(s) 104. Accordingly, service 102 may perform its own security oriented scans of the website and use the results to ensure that consumer information is secure. For example, such scans may be designed to detect vulnerabilities to threats such as hackers gaining access to the website(s) systems to deface the website, defraud the website's visitors or steal valuable information about the website or its visitors.

Visitor 106 is a consumer or other interested party visiting, or contemplating visiting, website(s) 104 or other Internet service provided by service 102 via a PC and a modem, web kiosk or other Internet access device. Visitor 106 can be a consumer or other interested party (not necessarily an individual consumer) interested in purchasing or in some way transacting with the service 102's on-line store, service or information base. Visitor 106 may not inherently trust on-line services and websites to protect their private and personal identifying, credit card, financial, medical or other information with sufficient security precautions to ensure its privacy and safety, and, indirectly the safety of the visitor.

Website 104 includes conventional system components for delivering on-line services to the visitor. As will be understood by those skilled in the art, components of website 104 can include, but are not limited to:

- Servers, such as the Sun e220R, Dell 5500, or other computer system involved in providing a part of the service.
- Network Components, such as network routers switches and Hubs.
- Firewalls, such as Checkpoint, or Firebox
- Operating Systems, such as Windows NT, Redhat Linux, or Sun Solaris
- Licensed technology components and applications, such as web servers and application servers, e-commerce applications, RDBMS database engines, etc.
- Customer written applications such as shopping carts, information systems containing private information about Visitors and other application components.
- Network operating systems and protocols, such as SNMP, ICMP, TCP, IP, DHCP, IIOS and the like.

Some attempts have recently been made to provide security verification so as to promote confidence in visitors 106 for conducting e-commerce and other transactions with services 102. For

example, Verisign and Truste allow on-line services to place a seal (e.g. an image created by a .GIF or other image file) on their websites if they have purchased their products, but do not do any actual security testing of the sites themselves. Accordingly, such seals do not truly indicate the vulnerability of the services 102 to hacking, cracking, worms, trojans, or similar security vulnerabilities. Further, such seals do not themselves appraise visitors of the security of data held on the website 104, or otherwise audit the security precautions of services 102 in any way.

For example, Verisign does not scan their customers' servers for any security vulnerabilities. In fact, Verisign does not even verify the proper installation of the Verisign digital certificate (a string of numbers which is a public key infrastructure (PKI) encryption technology) or use of secure sockets layer (SSL) to ensure the security of a visitor's transaction packets. As set forth above, the Verisign seal itself does nothing to verify to visitors 106 that the services 102 are not vulnerable to hacking, cracking, worms, trojans or similar security vulnerabilities. A user can click on the Verisign seal and Verisign will merely display a single web page showing that the service 102 has purchased a Verisign digital certificate or other product and that Verisign has verified their identity.

Similarly, Truste does not test the security of the networks and servers that operate the ecommerce systems that use their seal. When a Truste seal is purchased, Truste will merely verify that the service's privacy policy meets the Truste requirements and will look at the website to verify that it appears to comply with that policy, but will not otherwise check the actual security of the servers and networking equipment which deliver the services 102.

As another example, some attempts have been made to provide third-party verification of on-line services, such as verification services performed by Qualys. Such third-party verification services may use open source tools such as those provided by [www.nessus.org](http://www.nessus.org). However, Qualys and others do not offer a seal or other means for visitors 106 to access the results of such verification services or to otherwise verify the actual security of the services 102. Furthermore, Qualys and others do not check for potential new server vulnerabilities between automated security checks of the

website 104 used to operate the services 102. For example, scans may only be performed on a periodic or infrequent basis, while potential new security threats, such as worms, may arise several times a day. There is currently no way for such third-party approaches to alert services 102 of such potential new threats between scans.

5 In summary, none of the above conventional approaches are entirely trustworthy, do not adequately check and alert service 102 of potential new threats between security scans and/or are directly available to visitors 106.

### SUMMARY OF THE INVENTION

10 The present invention relates to security verification, and more particularly, to providing third-party verification of the security status of on-line services.

The present invention uniquely combines several functions to achieve a security verification system by which consumers can validate the actual security status of a website before they decide to trust it, and therefore transact with it. In one example implementation, a security system includes a scanning engine that periodically and thoroughly scans the network and connected components of an on-line service such as a website. The results are stored and perhaps reported back to the service via alerts and the like. The website includes a “bug” which visitors can click on. By clicking, the visitors are also displayed web pages showing the security status of the website. Based on their review of such web pages, visitors can then decide whether to trust the website for further transactions.

15

20

In accordance with another example implementation of the invention, the components of on-line services are stored and compared to fingerprints of potential new vulnerabilities when they arise. Depending on whether the fingerprints match the components of the on-line services, alerts to the on-line services can be generated without performing actual scans.

In accordance with a further example implementation of the invention, the security verification system maintains security meters for one or more on-line services which can be accessed by visitors. For example, the security verification system can maintain and provide security scores and corresponding graphical indicators of individual security attributes, both current and/or  
5 historical, of one or more on-line services.

### BRIEF DESCRIPTION OF THE DRAWINGS

These and other aspects and features of the present invention will become apparent to those ordinarily skilled in the art upon review of the following description of specific embodiments of the  
10 invention in conjunction with the accompanying figures, wherein:

FIG. 1 is a top-level block diagram illustrating an example environment of the invention;

FIG. 2 is a top-level diagram illustrating an example environment and implementation of the invention;

FIG. 3 is a block diagram illustrating an example implementation of security system in  
15 accordance with the invention in even further detail;

FIG. 4 is a flow diagram illustrating an example of processing steps performed by the scanning engine according to an aspect of the invention;

FIG. 5 is a flow diagram illustrating an example of processing steps performed by the alert engine according to an aspect of the invention;

20 FIG. 6 is a flow diagram illustrating an example of processing performed by the verification engine according to an aspect of the invention;

FIG. 7 is a flow diagram illustrating an example of alternative or additional processing performed by the verification engine for verifying the registration of on-line services;

FIG. 8 is a block diagram illustrating an alternative embodiment of the security system of the  
25 present invention in detail;

FIGs. 9A and 9B illustrate example security meters for a website that can be displayed to visitors according to one possible implementation of the present invention; and

FIG. 10 is an example display of security meters displayed for a plurality of websites to visitors according a further possible implementation of the present invention.

5

### **DETAILED DESCRIPTION OF THE PREFERRED EMBODIMENTS**

The present invention will now be described in detail with reference to the drawings, which are provided as illustrative examples of the invention so as to enable those skilled in the art to practice the invention. Notably, the figures and examples below are not meant to limit the scope of the present invention. Moreover, where certain elements of the present invention can be partially or fully implemented using known components, only those portions of such known components that are necessary for an understanding of the present invention will be described, and detailed descriptions of other portions of such known components will be omitted so as not to obscure the invention. Further, the present invention encompasses present and future known equivalents to the known components referred to herein by way of illustration.

15

FIG. 2 is a top-level diagram illustrating an example environment of the invention. As shown in FIG. 2, the on-line environment further includes security system 200. Generally, on-line service 102 has entered into an agreement with the security system to perform third-party security verification services for one or more website(s) 104 they operate, the results of which are further available for viewing by its visitors 106 in a simple manner as described in more detail below.

20

Preferably, system 200 is functionally and physically separate and remote from on-line service 102 (i.e. exists at a totally separate and unrelated IP address on network 108 from service 102, and the system 200 is not corporately or otherwise controlled in any way by the same entity as the service 102). In other words, system 200 should only have the level and type of public and/or network access to service 102 that hackers and other threats have. This functional, physical,

25

managerial, administrative and corporate separation provides a level of confidence to visitors 106 of independent and informed security verification that has been heretofore unavailable to them.

Generally, security system 200 includes components to deliver third-party security verification services to both on-line service customers (e.g. service 102) and visitors 106. FIG. 3 is a block diagram illustrating an example implementation of security system in even further detail.

As shown in FIG. 3, this example of security system 200 includes the following components: scanning engine 302, customer information database 304, alert engine 306, reporting engine 308, and verification engine 310. It should be noted that system 200 can include many other conventional and novel components and functionalities such as providing system manager access and providing web server and other network access, as well as other storage and processing capability. However, even further detailed descriptions of such components and functionalities will be omitted here so as not to obscure the invention.

In one example implementation, security system 200 is implemented as a Sun computer running Solaris. In such an implementation, engines 302, 306 and 308 are real-time software processes developed using Java. Database 304 may be implemented using a database or a flat memory and/or other known equivalents.

Scanning engine 302 can include any conventionally known remote security scanner or equivalent thereof, such as the open source Nessus engine (details available from [www.nessus.org](http://www.nessus.org)), that remotely obtains and produces information about open ports, available services, network protocols, security exposures and vulnerabilities existing on a server or other device that is available over a network. Accordingly, scanning engine 302 periodically checks the web servers and/or network devices of service 102 to discover website component configuration and vulnerabilities. Scanning engine 302 initially scans the open ports of devices registered in customer information database 304. In one example implementation such as the Nessus open source engine, the scanning process produces a set of XML files containing all information gathered during the scan. These files



are parsed by scanning engine 302 and stored in database 304, the records of which are associated with the customer account number and therefore the customer's registration information.

As set forth above, scanning engine 302 stores information about the open ports, security exposures and vulnerabilities and scans completed on a server or other network device, and  
5 associates the information with a specific customer (e.g. website operator 102). Customer information database 304 stores information about each customer service 102's company, users, website(s), and the scans performed on the website(s) or other devices associated with the website(s). Stored information includes a scan header record including the date, launch time, duration, and number of vulnerabilities classified by severity level. The stored information also  
10 includes information about what sockets are open on the scanned device, what generic services should be running on those ports, and what services are actually running on the open ports including version, network message protocol and other available information.

Alert engine 306 is a service that alerts services 102 that are customers of system 200 about potential or confirmed security vulnerabilities by sending emails and/or reporting such events online.  
15 Such alerts can be based on device and/or service information found during a scan as compared to vulnerabilities associated with such devices and/or services stored in database 312. In accordance with a further aspect of the invention, alerts can also be generated by comparing and matching existing service 102 information stored from previous scans against information about a newly discovered vulnerability. Such newly discovered vulnerabilities can be retrieved by the system and  
20 parsed into vulnerability fingerprint records and stored in database 312. These records include the devices or services that pertain to the vulnerabilities. When a new vulnerability record is entered into database 312, and if there is a possibility that the new vulnerability could present a security problem for the customer's service 102, alert engine 306 can then generate an alert to service 102.

In one example implementation, alert engine 306 includes an email server with inboxes  
25 maintained for one or more users of each registered service 102. Alert engine 306, when it generates

alerts, places them in the inboxes and notifies such users in accordance with preferences and thresholds associated with each user. The email server of alert engine 306 includes functionality for allowing users to access, view and delete their email alerts from their inboxes. Alert engine 306 can also be configured to send an email to any valid email address. It should be noted that although  
5 email is one possible notification method, that other automated notification techniques such as paging, instant messaging, or voice messaging over telephone, could be employed.

The customer information database 304 contains account information as well as scan information about the devices of services 102 that are registered with the system 200. Users of such registered services 102 can log in and review interactive reports about the scans contained in the  
10 system, for example. Reporting engine 308 generates tables, graphs and content viewed provided in the interactive reports based on information in database 304. In one example, reporting engine 308 provides such reports to users and/or administrators of service 102 using a web server interface, for example.

It should be noted that information in customer information database 304 and vulnerability  
15 fingerprint database 312 may be initialized in many ways, both manually (via a system manager, for example) and automatically, and example implementation details thereof will be described in more detail below. Moreover, security information in database 304 need not only include information that is automatically detected and input by scanning engine 302. In addition to initialization information provided by a system manager, a system manager or other authorized party of service 102 can  
20 provide other manual inputs into database 304. For example, service 102 may employ a consultant or other third party to periodically audit the service's security practices, such as password policies, network architecture, internal and external security policies, proper enforcement of those policies, employee termination policies and other indicators that might affect the security of service 102 but cannot be automatically collected via scanning engine 302. Database 304 may include fields for  
25 such additional information, which fields can also be accessed by the alert engine, report engine and

verification engine for generating alerts, reports and security ratings as will be explained in more detail below. Accordingly, this should be considered an alternative or additional embodiment of the invention.

It should be noted that system 200 may further include functionality for allowing services 102 to notify system 200 of false positives. For example, if an alert email is sent of a detected vulnerability, and the service 102 determines that the alert was not an actual threat, it can notify the system to ignore that vulnerability until it is no longer found on the affected device. If the vulnerability identified by the service 102 as a false positive stops appearing after a predetermined number of scans or elapsed time, it will no longer be flagged as a false positive and will be totally removed as a potential vulnerability. If it does appear again, service 102 will be alerted again, and the service 102 will have to check again if the vulnerability is a false positive, and report back to the system 200 accordingly.

The particular method of allowing a service 102 to identify vulnerabilities can be implemented in a number of ways. For example, the system 200 can have an administrator interface that allows an administrator to receive and review return emails from the service 102 and manually update the database. As another example, the system 200 (e.g. the report engine 308) can include a web server interface that provides pages and associated scripts (e.g. scripts associated with checkboxes appearing next to reported vulnerabilities) for allowing users of services 102 to view and correct system vulnerability reports.

Verification engine 310 provides security status information of registered services 102 to visitors 106. For example, once the scanning engine 302 has completed the scanning process and results of the process have been uploaded, the customer information database 304 is updated with a security status. In one example implementation, a service 102 that has been registered with system 200 places a "Bug" (e.g. a GIF or other image file with an associated URL or script, i.e. hyperlink) in web pages presented by its website(s) 104. Such a "Bug," when clicked, causes an HTTP request

to be sent to the verification engine 310. Verification engine 310 responds by determining the particular service 102 corresponding to the HTTP request, retrieving the security status of the corresponding service 102 from database 304, and displaying a page of information containing the security status of the corresponding service 102 to the clicking visitor 106.

5           In a further example implementation, rather than just presenting the saved security status from database 304 to the visitor 106, the security status presented to visitor 106 can be extrapolated to the moment of the visitor's request. Such an up-to-date security status can be derived by checking the number of vulnerabilities over a certain severity level stored in database 304 for the requested service 102 and applying a grace period for the service 102 to resolve the problem. If sufficient  
10       vulnerabilities exist for a long enough period of time, for example, a non-encrypted FTP service is running on the website 104 for more than 48 hours, the security status of service 102 can be downgraded. When vulnerabilities are resolved or are identified by service 102 as false positives, the security status is automatically upgraded and displayed the next time a visitor 106 clicks on the Bug found on pages presented by the website 104 of service 102.

15           It should be noted that security status information can be provided to visitors of website 104 in a variety of ways in addition to a bug provided on a page of website 104 that clicks through to a simple rating page. For example, verification engine 310 can cause the bug to click through to a detailed security meter page such as will be described in more detail below. As another example, the verification engine 310 can cause an up-to-date security status to be provided directly on the page in  
20       place of the bug, for example by continuously updating a .GIF file accessed by the website. Even further alternatives will occur to those skilled in the art after being taught by the present examples, and these should be considered even further additional or alternative embodiments of the present invention.

Examples of methods implemented by security system 200 in accordance with the security verification features of the invention will now be described with reference to the accompanying drawings.

FIG. 4 is a flow diagram illustrating an example of processing steps performed by the scanning engine according to an aspect of the invention. For ease of illustration, processing for scanning only one registered service 102 will be described, however those skilled in the art will understand that multiple threads can be assigned for multiple services 102, for example.

The following scanning engine processing examples are consistent with the GPL licensed Nessus project vulnerability scanning engine, used in one example implementation of the invention to gather security information about a remote service 102. Complete specification details, source code and a list of vulnerabilities scanned by Nessus are found in web pages located at [www.nessus.org](http://www.nessus.org), which pages are incorporated herein by reference. It should be noted, however, that many additional implementation details of the scanning engine described below, such as the scheduler approach and the process of storing the scan results in the customer information database, are aspects of the present invention. These and other aspects of the invention will become more apparent from the descriptions provided hereinbelow.

At engine startup (step S402), the ports scanner creates several worker daemons that all interact with common log, dump and other system files. These daemons request test jobs from a worker manager process which manages the queue and can run many tests for one or more devices in parallel.

Generally, the scanning engine is invoked for each device the customer service 102 has registered in the customer information database 304 according the schedule requested for that device. In one example, customers are offered five possible queue times to schedule scans of their service 102: Immediate or once daily at 1AM, 7AM, 1PM or 7PM. Accordingly, after the engine has been invoked for a specified device (step S404), it is determined in step S406 whether a scan of

the specified device is currently scheduled. If not, the next device is retrieved from the customer's information (i.e., control is returned to step S404). Otherwise, a scan for the specified device is queued up and executed in random sequence by the scanning engine daemons and threads established during engine startup. These request devices to be scanned from the queue. Each scan  
5 continues to run until completed or a time-out due to customer server or network unavailability.

When a scan for the particular device is due to be launched (as determined above in step S406), the first step, as shown by step S408, is to scan all the ports on the device to see which ones are opened, identify which network transport and message protocols are offered on the port, and what services may be listening on the port. The scanning engine will then append the open port  
10 information in the customer information database 304 to the historical port scan information already stored there from prior scans.

In one example implementation, the server being tested (e.g. web server associated with website 104) is first pinged using TCP ping to see whether the device is available. To do this, the system can use Nmap, an open source tool managed by [www.insecure.org](http://www.insecure.org). Using Nmap, the  
15 scanning engine attempts to make a full connection to each port and interpret the data returned. This data is stored in database 304. In one example, Nmap is issued with the -n, -p, 1-15000, -sT, -O, -r switches. Specialized scripts can also ping ports using UDP and ICMP services, for example.

Next, in step S410, the scanning engine attempts to find services running on discovered open ports. The Nessus open source engine includes a program to do this. The list of detected services  
20 along with the list of open ports is stored in database 304 and can be used in subsequent processing to determine which vulnerability test scripts (.NASL or .NES files) are to be run.

Processing continues to step S412, where the scanning engine selects vulnerability tests to run against the server according to information collected during the port, protocol and service discovery scans run on the device. The worker daemons request queued test jobs from the worker  
25 manager process. This continues until all relevant vulnerability tests have been completed. In an

example implementation using the Nessus scanning engine, positive test results are stored in a file in XML format.

In step S414, the scan results are parsed by the scanning engine. In the Nessus example implementation, a process parses the XML formatted information and uploads it into database 304.

5 For example, a summary record is created for this scan of this device as well as one detail record for each positive test result associated with this device scan. All results are associated with the device masterfile record as registered in database 304, which is associated with the customer's company account records, also stored in database 304. This data can then be used to calculate a security status for the service 102, and to create interactive reports for inspection by the customer's users.

10 Upon completion of step S414, processing returns to step S404 for scanning the next device of service 102.

FIG. 5 is a flow diagram illustrating an example of processing steps performed by the alert engine according to an aspect of the invention.

The alert engine helps users of services 102 that are customers of the system 200 stay abreast  
15 of their security by sending alert emails when certain events occur on their sites. The security system keeps track of alerts that are sent to users and stores them in database 304.

In one example implementation of the alert engine, the engine continually and periodically loops through each device in the customer's service 102 (determined in step S502, for example, by checking the device information in database 304) to determine if an alert for that device needs to be  
20 sent. In one example, an alert is issued under two circumstances. First, an alert can be issued when a new warning of a severe or critical vulnerability is placed in the system. This is detected in step S504. If a new vulnerability has been entered, processing advances to step S506 where the vulnerability fingerprint of the new vulnerability is compared against the device information. The fingerprint includes device information that allows such comparison. For example, if the service  
25 includes a device which is a router of a certain brand, and if a new SNMP vulnerability is entered

into the system for that particular brand of router, the device may be vulnerable to the new threat. If the new vulnerability is found to potentially affect the device (determined in step S508), an alert may need to be issued, so processing branches to step S512 for determining whether an alert email for the threat should be sent according to the elections of the administrator and users.

5           An example of how new threats can be entered into the system will now be explained in even further detail. For example, system 200 can include a process that periodically sends a request for new and updated vulnerability test scripts from nessus.org. New scripts are automatically downloaded to a test area, where they are manually modified to incorporate device and other tags meaningful to the system. Another process of system 200 parses the special tags and creates a  
10   vulnerability fingerprint record of each new received vulnerability, which record is stored in database 312. The vulnerability fingerprint record can then be used by the alert engine to compare against fingerprint information for all customer devices stored in the customer information database to see if the customer may possibly be exposed to the newly threat. The vulnerability fingerprint record also contains information to identify the severity of the vulnerability, which can be used to  
15   calculate the security status for the customer, as will be explained in more detail below.

          An example of a second type of trigger for an alert is that a change in security status of a device is detected resulting from a scan of the device (i.e. a security status alert). This is detected in step S510. For example, if this is a new device that was just detected and tested in a scan (as in step S412 in FIG. 4), and if the new device was found to be potentially vulnerable, this information is  
20   detected by alert engine 306, and processing branches toward step S512. Moreover, an alert can be sent as soon as a potential negative change in the security status of the device occurs. For example, if a vulnerability with a “critical” level is found, and is not resolved within 48 hours, the service 102’s overall security rating is changed from “Secure” to “Active.” Another “final warning” alert will be sent within 4 hours of a negative status change. A final Alert will be sent at the time of the  
25   status change notifying the user of the change.



In any of these status change events, processing will continue to step S512, where the severity of the security threat is determined. For example, a particular threat can have one of several defined levels in ascending order of severity: note, warning, critical, and severe. In one example, the level associated with the vulnerability is simply contained in the vulnerability fingerprint which is  
5 contained in the record in database 312, and simply extracted therefrom.

Processing continues to step S514. Here, a loop for each user of the service 102 is begun. This information is stored in customer information database 304. Each user (possibly also including an administrator) can set up preferences about which devices and what alerts about them to receive. When all the users have been considered for receiving an alert, processing returns to step S502 for  
10 checking the next device of service 102 in the loop.

The user preferences are loaded in step S516. Next, the preferences are compared against the device identifier and the severity level of the vulnerability that was computed in step S512. If this is not a level or type of vulnerability that the user wants to receive alerts about, control returns to step S514. Otherwise processing continues to step S518, where an alert is sent to the user. In one  
15 example, this is done by placing an alert email in the user's inbox and sending a message containing a URL pointing to the email to the user.

It should be noted that certain types of alerts should not be subject to the threshold determination processing of step S516. For example, security status change alerts may not be allowed to be suppressed. In this case, each alert is placed in the Alert Inbox, but an email saying  
20 how many of each type of alert that is received is sent to the user. No alert is sent if there are no vulnerabilities above the threshold the user selects (up to warning).

It should be noted that other types of alert emails can be sent to certain or all users of service 102. For example, an alert can also be sent when a scan has been completed and can contain a simple summary of the scan results, along with a device summary report for each device.

An example of an alert email system will now be described in even further detail. For example, the system administrator of each registered service 102 can elect to allow certain, all or no user to control the alert emails they receive. If allowed, each user can elect to receive various alerts. However, it is preferred that the administrator can never elect to not receive alert emails of a Critical or Severe level. The administrator or user can suppress any level of alert for regular users. The administrator can elect to not receive alert emails at a warning or note level only. In an email implementation, all alerts go to the user's Alert Inbox where they will remain until the user dismisses them, as will be explained in more detail below.

The Summary Alert Inbox contains all alerts that have not been deleted from the inbox. A check box is provided to the left of each alert. The administrator can place a check in the box and then press a "Delete" of the selected alerts button located directly under the check box column in the Alert Inbox. The screen then refreshes with the checked alerts no longer appearing.

The Device Alert Inbox lists only alerts that apply to the a certain device. Alerts can be deleted here by the administrator as well. There should be clear content stating that deleting an alert removes it from the system, so it will not appear in the summary inbox or the device inbox.

When an alert is deleted it is simply marked to not display in any inbox. In one alternative, alert engine includes a function that allows users to look at deleted alerts by entering a date range. For example, it could display a "View History" button above each Alert Inbox with date range input fields. This button would be associated with a CGI allowing a listing of all open alerts between and including those dates.

An Alert Detail display option may be provided to accommodate the two types of alerts in the system. For example, alerts that result from new "potential" vulnerabilities would display an Alert Detail screen containing the generic vulnerability descriptive information. Alerts resulting from scans would provide scan results for that vulnerability in addition to the generic alert

information. This is the same as the other Alert detail page except it would have additional fields displaying the detailed scan results obtained during the scan that produced the alert.

An example of processing performed by the verification engine according to an aspect of the invention will now be described in connection with FIG. 6.

5 In one example implementation of the verification engine, services 102 that are registered with the security system 200 are provided a “bug” (e.g. a GIF file with an associated URL) that can be displayed in web pages provided by their website(s) 104. Accordingly, visitors 106 visiting the website(s) will view the “bug,” and if they wish to receive third party verification of the security of the website, they can click on the bug. Assuming that is the case (step S602), a URL causes an  
10 HTTP request to be made to security system 200, which request is then received by the verification engine 310 of system 200 (step S604). The request also includes the IP address of the referring website 104 that the visitor 106 was visiting. That IP address is extracted in step S606. The address is then compared to the addresses in customer information database 304 corresponding to all registered services 102 of the system. If the extracted IP address does not correspond to any of the  
15 stored addresses, a non-confirmation screen is displayed back to the visitor 106 (step S610) informing the visitor that the service 102 is not a scanned service.

If the extracted IP address does correspond to a stored IP address (determined in step S608), the security status information for the associated website is retrieved from customer information database 304. For example, the number of open critical and severe vulnerabilities found on website  
20 104 and when they were found is queried using the extracted IP address. Next, a status level of the website is computed in step S612 and a web page containing this status is provided to the visitor 106 for display on the visitor’s web browser (step S614).

One example of how the instantaneous security status of the service 102 in step S612 may be computed is as follows. First, the system checks to see if the service is registered, and if not, the  
25 status is set to “Not Protected.” If the service 102 is registered, but has no website 104 IP address

that has been registered and approved (an example of how to verify whether the registration of a website will be provided below), the status is set to "Pending." If the service has critical or severe vulnerabilities that have been identified and not changed for more than 48 hours (or other period as adjusted in system configuration files), and have not been marked as false positives, the status is set to "Active." If the service has been scanned within the last 72 hours, and has no outstanding critical or severe vulnerabilities that are more than 48 hours old, the status is set to "Secure."

It should be noted that the security status computed in step S612 may not just be based on the result of the last scan performed for the service 102. Rather, the security status presented to visitor 106 can be extrapolated to the moment of the visitor's request. Such an up-to-date security status can be derived by checking the number of vulnerabilities over a certain severity level stored in database 304 for the requested service 102 and applying a grace period for the service 102 to resolve the problem. If sufficient vulnerabilities exist for a long enough period of time, for example, a critical or severe vulnerability unresolved for more than 48 hours, the security status of service 102 can be downgraded. When vulnerabilities are resolved or are identified by service 102 as false positives, the security status is automatically upgraded and displayed the next time a visitor 106 clicks on the Bug found on pages presented by the website 104 of service 102.

In one example implementation, the security status displayed to the visitor 106 is in the form of a meter (using similar methods such as that explained with reference to FIG. 6), which is a dynamic graphic that displays the actual security status according to a security scan. One possible implementation of such a security meter is provided in FIG. 9A. As shown in FIG. 9A, the meter 902 includes a bar indicator that merely provides a graphic showing how the status rates on a scale of "Low," "Medium" and "High," which may correspond to "Active," "Pending" and "Secure," as described above. It should be noted that the scale need not only show discrete values, but may indicate values in a continuous range computed by time average of ratings over two previous weeks or otherwise configured period of time, the range being given a normalized numerical scale such as

from 0 to 10, for example. Another possible implementation of such a security meter is provided in FIG. 9B. As shown in FIG. 9B, the display is more detailed and includes an overall numeric rating 904, along with several individual security metrics 906 on which the overall rating is based. As shown in FIG. 9B, these can include frequency of scan, promptness of repair, frequency of vulnerabilities, how recently scanned, percentage of servers tested, and current status.

Many other features and advantages of providing such third-party security verification services to the general public, in accordance with the invention, are possible. In this regard, FIG. 8 is a block diagram illustrating an alternative embodiment of the security system 200'.

As shown in FIG. 8, security system 200' further includes a security web site 802. The web site 802 responds to general public requests for pages via the Internet or other network 108. In response to such requests for pages, web site 802 retrieves security status information from customer information database 304 and displays it. The security status information can be for a specific website that is registered with system 200', or it can be for all registered websites. In one preferred implementation, the displayed status(es) is (are) in the form of a security meter. One possible example is shown in FIG. 10. As shown in FIG. 10, the display is a web page including a list of websites of interest to the visitor, along with associated meters 1002 showing their overall security status. The meters 1002 can be on a continuous scale computed as set forth above in either of the examples shown in FIGs. 9A and 9B or otherwise. It should be noted that the displayed websites can be selected in a number of ways by the visitor or can be automatically provided.

In a further alternative embodiment, the verification engine can include additional functionality for verifying the registration of the website 104 of a service 102 for permitting third-party verification services for visitors of the website 104. This alternative embodiment will be described in more detail in connection with the flow chart in FIG. 7.

As shown in FIG. 7, a customer whose service 102 is registered with the system 200 logs into the system 200 and enters the IP / device information for the website 104 or other on-line service to

make available for third-party security verification by visitors 106 (step S702). At the same time, the service 102 places the “bug” (e.g. a GIF file with an associated URL) provided by the system 200 on a page maintained by the registered IP / device 104, and provides the system 200 with the URL at which the bug is located on the site 104. The verification engine then goes to the URL and  
5 determines whether the bug is at the specified location by checking for the filename (step S706). If the bug is not there, a warning is provided by the system 200 to the service 102 (step S708). Otherwise, the registration is confirmed and the information for the service 102 in database 304 is updated accordingly. Thereafter, visitors 106 visiting the site 104 will be able to obtain third-party security verification from system 200 by clicking on the bug.

10 Although the present invention has been particularly described with reference to the preferred embodiments thereof, it should be readily apparent to those of ordinary skill in the art that changes and modifications in the form and details may be made without departing from the spirit and scope of the invention. For example, those skilled in the art will understand that variations can be made in the number and order of processing steps illustrated in the above flow diagrams. It is intended that  
15 the appended claims include such changes and modifications.

What is claimed is:

1. An apparatus for providing verification of a security status of an on-line service,  
comprising:  
a database that stores a profile of devices and services comprising the on-line service  
and a corresponding indication of their vulnerability; and  
a verification engine that provides verification to visitors of the on-line service via a  
network by displaying an indication of the security status of the on-line service to the visitor in  
accordance with the stored profile.
2. An apparatus according to claim 1, further comprising a scanning engine that detects the  
devices and services comprising the on-line service.
3. An apparatus according to claim 2, wherein the scanning engine further performs a  
comparison between vulnerability fingerprints and the devices and services to obtain the  
corresponding vulnerability indications.
4. An apparatus according to claim 1, wherein the apparatus is remote from the on-line  
service on the network.
5. An apparatus according to claim 4, wherein the apparatus is remote from the on-line  
service on the network.
6. An apparatus according to claim 1, wherein the displayed indication is made in response  
to the visitor clicking a bug displayed by the on-line service.

7. An apparatus according to claim 3, further comprising an alert engine that sends alerts to the on-line service in accordance with the comparison performed by the scanning engine.

8. An apparatus according to claim 7, wherein the alert engine further determines whether new vulnerabilities potentially affect the on-line service.

9. An apparatus according to claim 8, wherein the alert engine is operative to further determine whether new vulnerabilities potentially affect the on-line service based on information in the stored profile and newly received vulnerability information without requiring a new scan by the scanning engine to detect devices and services comprising the on-line service.

10. An apparatus according to claim 1, wherein the verification engine further receives requests for registration of new on-line services, the verification engine registering the new on-line services in accordance with a determination that a bug exists at a pre-defined URL.

11. An apparatus according to claim 1, wherein the on-line service is a website.

12. An apparatus according to claim 10, wherein the on-line service is a website.

13. An apparatus according to claim 1, wherein the network is the Internet.

14. An apparatus for providing verification of a security status of one or more on-line services, comprising:

a database that stores respective profiles of devices and services comprising the on-line services and corresponding indications of their vulnerability; and



a security website that receives requests for verification from actual or potential visitors of a selected one of the on-line services via a network and provides a graphical indication of the security status of the selected on-line service to the visitor in accordance with the stored profile.

15. An apparatus according to claim 14, wherein the graphical indication is a security meter.

16. An apparatus according to claim 14, wherein the security website is further operative to provide graphical indicators of the security status of a plurality of the on-line services in accordance with the stored profiles and requests by the visitors.

17. An apparatus according to claim 14, further comprising a scanning engine that detects the devices and services comprising the on-line services.

18. An apparatus according to claim 17, wherein the scanning engine further performs a comparison between vulnerability fingerprints and the devices and services to obtain the corresponding vulnerability indications.

19. An apparatus according to claim 14, wherein the apparatus is remote from each of the on-line services on the network.

20. An apparatus according to claim 18, wherein the apparatus is remote from each of the on-line services on the network.

21. An apparatus for providing verification of a security status of an on-line service, comprising:

a scanning engine that periodically detects devices and services comprising the on-line service and compares the detected devices and services against vulnerability fingerprints to obtain a corresponding indication of their vulnerability; and

an alert engine that provides an alert to the on-line service in accordance with the comparison performed by the scanning engine,

wherein the apparatus is remote from the on-line service on the network.

22. An apparatus according to claim 21, wherein the alert engine further determines whether new vulnerabilities potentially affect the on-line service.

23. An apparatus according to claim 22, wherein the alert engine is operative to further determine whether new vulnerabilities potentially affect the on-line service based on information in the stored profile and newly received vulnerability information without requiring a new scan by the scanning engine to detect devices and services comprising the on-line service.

24. An apparatus for providing verification of a security status of an on-line service, comprising:

a scanning engine that periodically detects devices and services comprising the on-line service and compares the detected devices and services against vulnerability fingerprints to obtain a corresponding indication of their vulnerability; and

a reporting engine that displays scan results to the on-line service in accordance with the comparison performed by the scanning engine and allows the on-line service to identify an obtained vulnerability as a false positive,

wherein the apparatus is remote from the on-line service on the network.

25. An apparatus according to claim 24, further comprising a verification engine that provides an indication of a security status to visitors of the on-line service in accordance with the comparison performed by the scanning engine and the identified false positive.

26. An apparatus according to claim 24, further comprising an alert engine that provides an alert to the on-line service in accordance with the comparison performed by the scanning engine and the identified false positive.

27. An apparatus for providing verification of a security status of an on-line service, comprising:

means for detecting devices and services comprising the on-line service;

means for comparing the detected devices and services against vulnerability

fingerprints;

means for receiving requests for verification from visitors of the on-line service via a network; and

means for providing an indication of the security status of the on-line service to the visitor in accordance with the comparison performed by the comparing means.

28. An apparatus according to claim 27, wherein the apparatus is remote from the on-line service on the network.

29. An apparatus according to claim 27, further comprising means for allowing the visitor to make the requests by clicking a bug displayed by the on-line service.

30. An apparatus according to claim 27, further comprising means for sending alerts to the on-line service in accordance with the comparison performed by the scanning engine.

31. An apparatus according to claim 30, wherein the alerting means includes means for determining whether new vulnerabilities potentially affect the on-line service.

32. An apparatus according to claim 27, further comprising:  
means for receiving a requests for registration of a new on-line service;  
means for determining whether a bug exists at a pre-defined URL in the request; and  
means for registering the new on-line services in accordance with the determination that the bug exists at the pre-defined URL.

33. A method for providing verification of a security status of an on-line service, comprising:  
detecting devices and services comprising the on-line service;  
comparing the detected devices and services against vulnerability fingerprints;  
receiving requests for verification from visitors of the on-line service via a network;  
and  
providing an indication of the security status of the on-line service to the visitor in accordance with a result of the comparing step.

34. A method according to claim 33, wherein the comparing step includes scanning the on-line service from a remote address on the network.

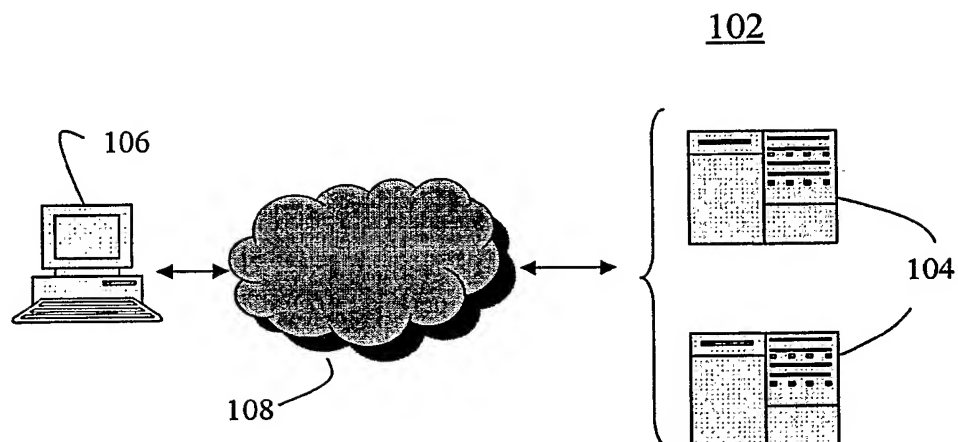
35. A method according to claim 33, further comprising allowing the visitor to make the requests by clicking a bug displayed by the on-line service.

36. A method according to claim 33, further comprising sending alerts to the on-line service in accordance with the comparison performed by the scanning engine.

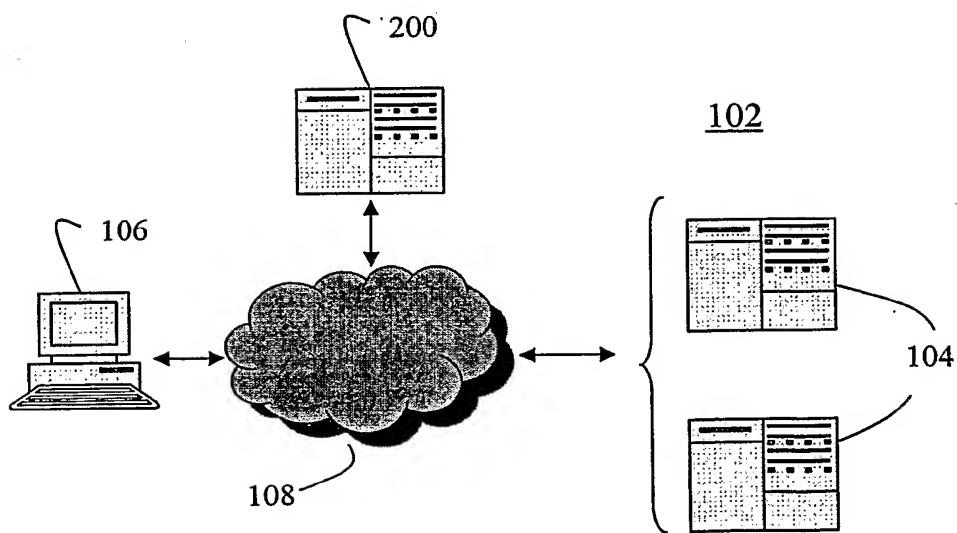
37. A method according to claim 36, wherein the alerting step includes determining whether new vulnerabilities potentially affect the on-line service.

38. A method according to claim 33, further comprising:

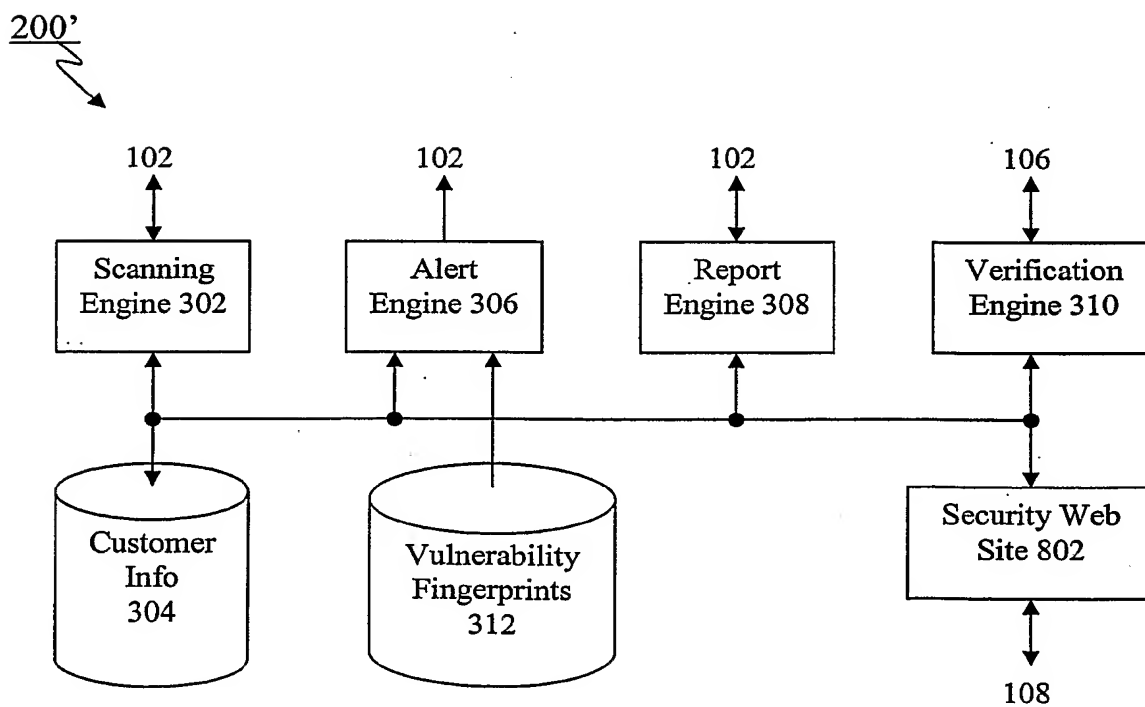
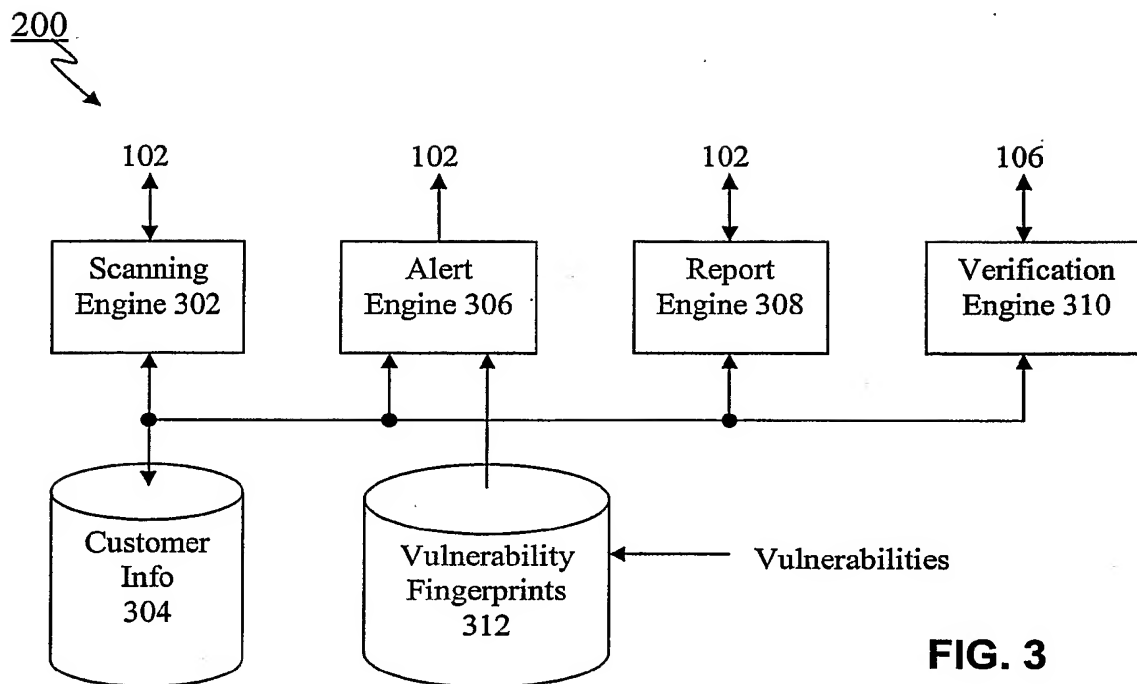
- receiving a request for registration of a new on-line service;
- determining whether a bug exists at a pre-defined URL in the request; and
- registering the new on-line services in accordance with the determination that the bug exists at the pre-defined URL.

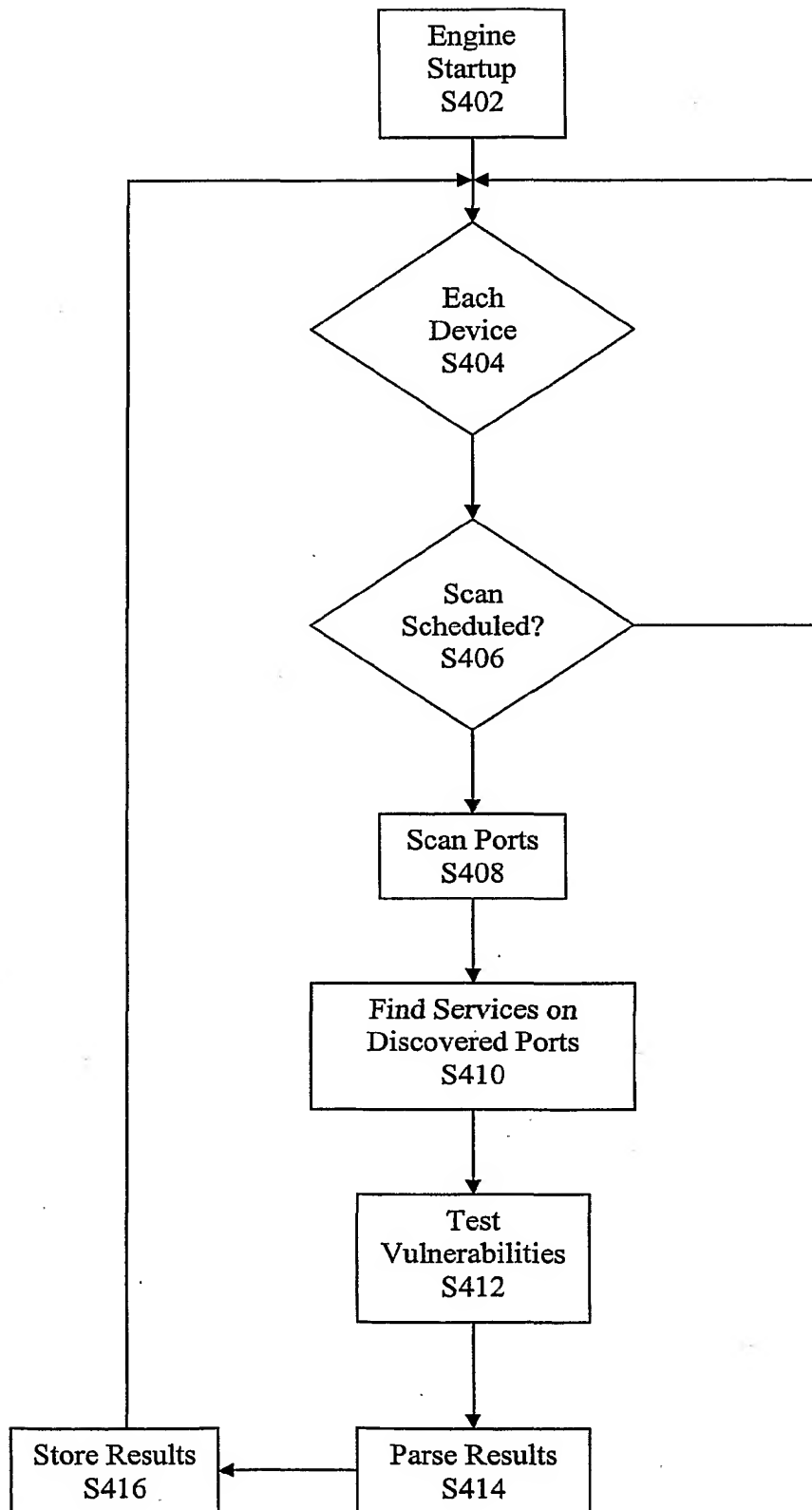


**FIG. 1**  
**(PRIOR ART)**

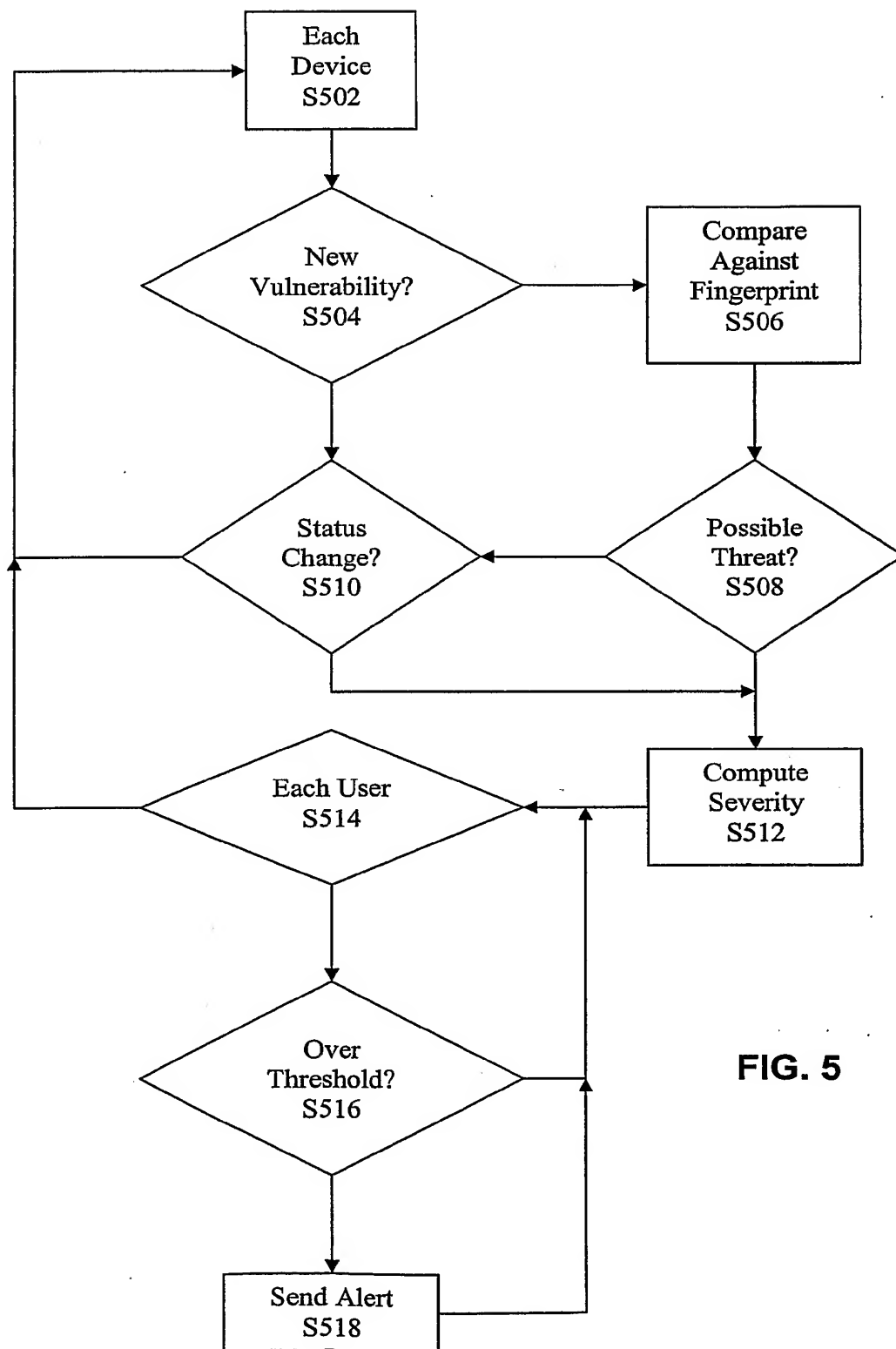


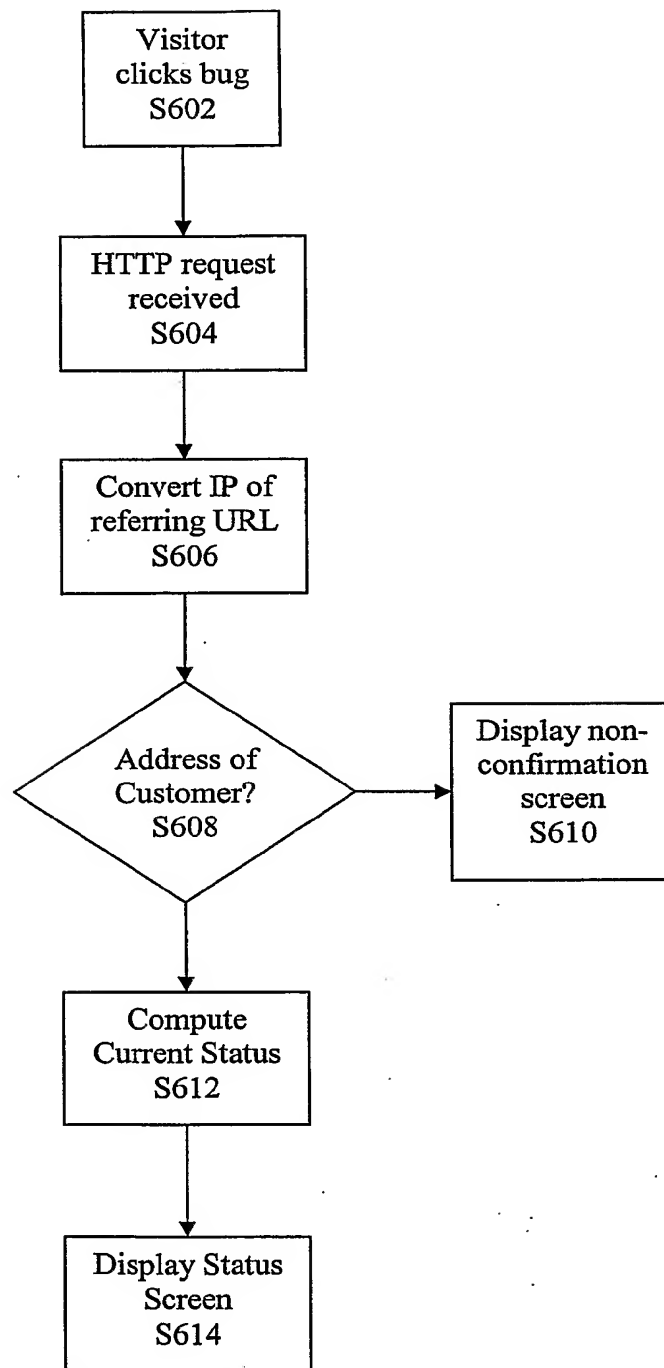
**FIG. 2**

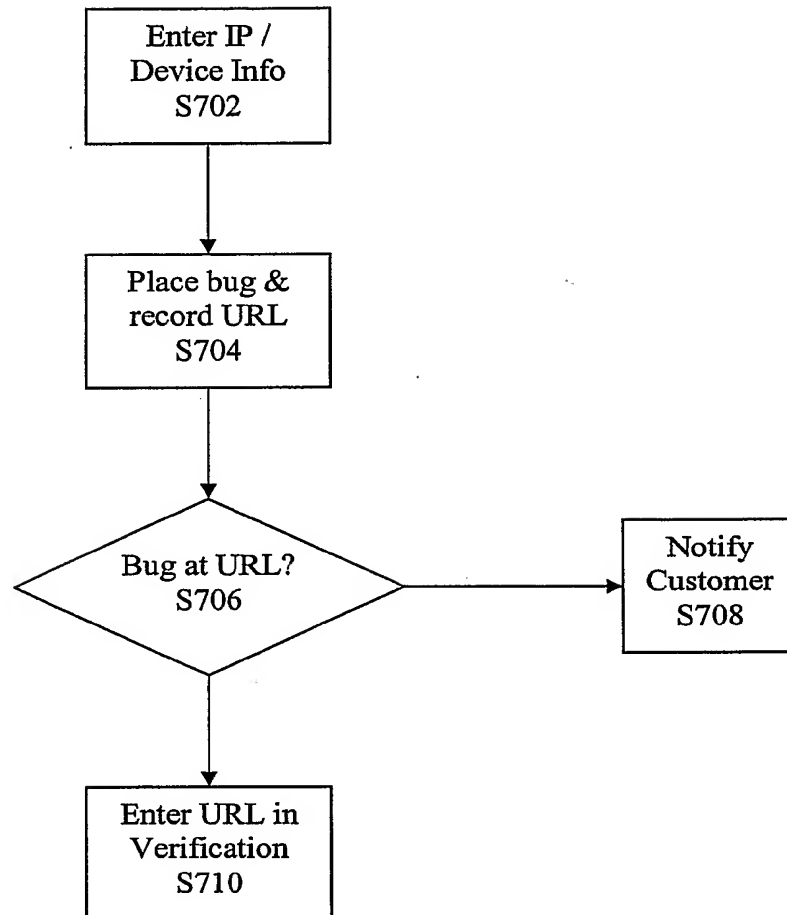


**FIG. 4**



**FIG. 5**

**FIG. 6**

**FIG. 7**



902

FIG. 9A



01/12/02 09:12:01

CUSTOMER SAFETY SUMMARY

**FREQUENCY OF SCAN** | 9.5

ipsum dolor sit amet,consectetur  
adipiscing elit, sed diam nonummy nibh  
euismod tincidunt.Lorem ipsumsed diam  
nonummy

**HOW RECENTLY SCANNED** | 9.5

ipsum dolor sit amet,consectetur  
adipiscing elit, sed diam nonummy nibh  
euismod tincidunt.Lorem ipsumsed diam  
nonummy

**PROMPTNESS OF REPAIR** | 9.5

ipsum dolor sit amet,consectetur  
adipiscing elit, sed diam nonummy nibh  
euismod tincidunt.Lorem ipsumsed diam  
nonummy

**PERCENTAGE OF SERVERS TESTED** | 7.5

ipsum dolor sit amet,consectetur  
adipiscing elit, sed diam nonummy nibh  
euismod tincidunt.Lorem ipsumsed diam  
nonummy

904



**FREQUENCY OF VULNERABILITIES** | 7.5

ipsum dolor sit amet,consectetur  
adipiscing elit, sed diam nonummy nibh  
euismod tincidunt.Lorem ipsumsed diam  
nonummy

**CURRENT STATUS** | 9.5

ipsum dolor sit amet,consectetur  
adipiscing elit, sed diam nonummy nibh  
euismod tincidunt.Lorem ipsumsed diam  
nonummy

906

FIG. 9B

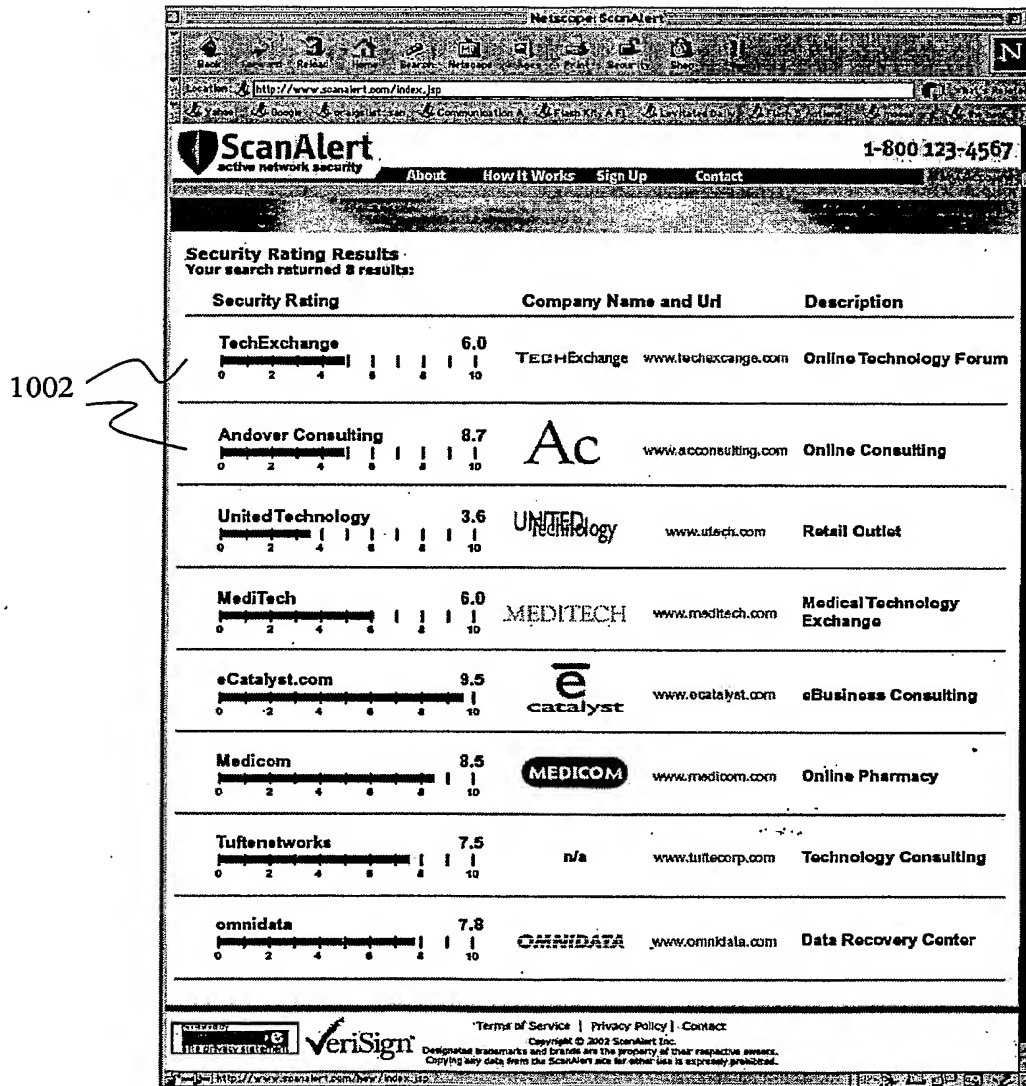


FIG. 10

## INTERNATIONAL SEARCH REPORT

Internatic Application No  
PCT/US 03/09789

A. CLASSIFICATION OF SUBJECT MATTER  
IPC 7 H04L29/06 G06F1/00

According to International Patent Classification (IPC) or to both national classification and IPC

## B. FIELDS SEARCHED

Minimum documentation searched (classification system followed by classification symbols)

IPC 7 H04L G06F

Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched

Electronic data base consulted during the international search (name of data base and, where practical, search terms used)

EPO-Internal

## C. DOCUMENTS CONSIDERED TO BE RELEVANT

Category *	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
Y	US 2002/038430 A1 (MIGUES SAMUEL ET AL) 28 March 2002 (2002-03-28) paragraph '0006! - paragraph '0007! -----	1-38
Y	WO 98 00784 A (MCI COMMUNICATIONS CORP) 8 January 1998 (1998-01-08) page 3, line 2 - line 21 -----	1-38

☐ Further documents are listed in the continuation of box C.

☒ Patent family members are listed in annex.

\* Special categories of cited documents:

\*A\* document defining the general state of the art which is not considered to be of particular relevance

\*E\* earlier document but published on or after the international filing date

\*L\* document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified)

\*O\* document referring to an oral disclosure, use, exhibition or other means

\*P\* document published prior to the international filing date but later than the priority date claimed

\*T\* later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention

\*X\* document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone

\*Y\* document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art.

\* & \* document member of the same patent family

Date of the actual completion of the international search

22 July 2003

Date of mailing of the international search report

28/07/2003

Name and mailing address of the ISA

European Patent Office, P.B. 5818 Patentlaan 2  
NL - 2280 HV Rijswijk  
Tel. (+31-70) 340-2040, Tx. 31 651 epo nl,  
Fax: (+31-70) 340-3016

Authorized officer

Veen, G

# INTERNATIONAL SEARCH REPORT

Information on patent family members

International Application No

PCT/US 03/09789

Patent document cited in search report		Publication date	Patent family member(s)	Publication date
US 2002038430	A1	28-03-2002	NONE	
WO 9800784	A	08-01-1998	AU 3792997 A	21-01-1998
			WO 9800784 A1	08-01-1998
			US 6141777 A	31-10-2000